

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Andrew E. Fano et al.

Serial No.: 09/520,943

Filing Date: March 8, 2000

Title: MAKING FINANCIAL DECISIONS
BY BALANCING GOALS IN A
FINANCIAL MANAGER

Docket No: 60021-352501

Conf. No.: 1143

Group Art Unit: 3623

Examiner: Beth Van Doren

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

Please amend the Title to read as follows:

MAKING FINANCIAL DECISIONS BY BALANCING GOALS IN A FINANCIAL
MANAGER

Attached for your reference, are copies of the following:

1. A red-lined Filing Receipt showing the above-identified correction; and
2. Copies of pages 1 and 2 of the Amendment filed with the USPTO on July 11, 2003, acknowledged as received by Group 3600 of the USPTO on July 21, 2003.

If any fees are due in connection with the filing of this paper, then the Commissioner is authorized to charge such fees, including fees for any extension of time, to Deposit Account No. 50-1901 (Docket 60021-352501).

Respectfully submitted,

By: 

Christopher R. Hilberg, Reg. No. 48,740
Customer No. 29838
Oppenheimer Wolff & Donnelly LLP
45 South Seventh Street, Suite 3300
Minneapolis, MN 55402
Telephone: (612) 607-7237

FILING RECEIPT

OC000000005086018


**UNITED STATES DEPARTMENT OF
COMMERCE
Patent and Trademark Office**

 Address: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/520,943	03/08/2000	2768	690	AND1P525	18	20	3

 23053
 HICKMAN STEPHENS & COLEMAN
 1901 SOUTH BASCOM AVENUE
 SUITE 660
 CAMPBELL, CA 95008

Date Mailed: 05/01/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)
 ANDREW E FANO, EVANSTON, IL ;
 SCOTT KURTH, WHEELING, IL ;
Continuing Data as Claimed by Applicant**Foreign Applications**

If Required, Foreign Filing License Granted 04/29/2000

REC'D MAY 5 2000

**

Title
~~SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR MAKING FINANCIAL~~
 DECISIONS BY BALANCING GOALS IN A FINANCIAL MANAGER
Preliminary Class

705

Data entry by : SYDNOR, RUTH

Team : OIPE

Date: 05/01/2000



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

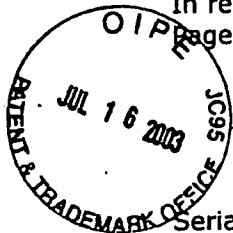
Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

Serial No.: 09/520,943

In reply to Office Action mailed: March 11, 2003

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#10/a (w)
8-01-03
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RECEIVED
JUL 21 2003
GROUP 3600

Serial #: 09/520,943
Applicant: Andrew E. Fano et al.
Filed: March 8, 2000
Title: MAKING FINANCIAL DECISIONS BY BALANCING GOALS IN A FINANCIAL
MANAGER (amended herein)

Group Art: 3623
Examiner: B. Van Doren
Docket #: AND1P525 (60021-352501)

CERTIFICATE OF MAILING

I hereby certify under 37 CFR § 1.8 that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 11, 2003.

Ann Pommier
Ann Pommier

Commissioner for Patents
P.O. Box 1450,
Alexandria, VA 22313-1450

AMENDMENT

In response to an Office action mailed March 11, 2003 (Office Action). Submitted herewith is a Petition for a One Month Extension of Time. Please amend the above-identified application as follows:

Amendments to the Specification begins on page 2 of this paper.

Amendments to the Drawings begin on page 3 of this paper.

Amendments to the Claims are reflected in the listing of claims, which begins on page 4 of this paper.

Remarks/Arguments begin on page 9 of this paper.

Serial #: 09/520,943

In reply to Office action mailed: March 11, 2003

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Amendments to the Specification

Please amend the title of the present invention as follows:

~~SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR MAKING FINANCIAL~~
DECISIONS BY BALANCING GOALS IN A FINANCIAL MANAGER

Page 13, line 12, after "IBM", insert --TM--;

Page 13, line 13, after "UNIX", insert --TM--;

Page 13, lines 26 and 27, after "Microsoft Windows NT or Windows/95 Operating System (OS)", insert --TM--;

Page 13, line 27, after "IBM OS/2", insert --TM--;

Page 13, line 27, after "MAC OS", insert --TM--;

Page 13, line 27, after "UNIX", insert --TM--;

Page 14, line 1, after "JAVA" insert --TM--;

Page 14, line 1, after "C", insert --TM--;

Page 14, line 1, after "C++", insert --TM--;

Page 17, line 10, after "C++", insert --TM--;

Page 17, line 11, after "C++", insert --TM--;

Page 17, line 12, after "C++", insert --TM--;

Page 17, line 13, after "C++", insert --TM--;

Page 37, line 14, after "Honda", insert --TM--;

Page 37, line 14, after "Toyota", insert --TM--;

Page 37, line 14, after "BMW", insert --TM--;

Page 37, line 26, after "Saturn", insert --TM--; and

Page 37, line 27, after "Saturn", insert --TM--.